

**Attorney Docket No. 082086-0305371**  
**Client Reference: DCK 59 REG**

**PATENT**

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re application of: Marc C. Zeitoun, Phillip K. Hsu, Eric T. Jones, Debra M. Braitto, John L. Lang,  
Frank R. Malfatto, Ruchir B. Raikundalia, and Thomas S. Barron

Application No.: Confirmation No:  
Filed: April 16, 2004 Group No.:  
Examiner  
For: FINANCIAL INVESTMENT ADVICE SYSTEM AND METHOD

**Commissioner for Patents**  
**P.O. Box 1450**  
**Alexandria, VA 22313-1450**

**APPLICATION DATA SHEET**  
**37 C.F.R. § 1.76**

**BIBLIOGRAPHIC DATA**

**1. Applicant information**

First applicant: Marc C. Zeitoun  
Citizenship: United States  
Residence: New York, NY

Second applicant: Phillip K. Hsu  
Citizenship: United States  
Residence: Ho Ho Kus, NJ

Third applicant: Eric T. Jones  
Citizenship: United States  
Residence: Highland Mills, NY

Fourth applicant: Debra M. Braitto  
Citizenship: United States  
Residence: Albertson, NY

Fifth applicant: John L. Lang  
Citizenship: United States  
Residence: Montgomery, NJ

Sixth applicant: Frank R. Malfatto  
Citizenship: United States  
Residence: Ringwood, NJ

Seventh applicant: Ruchir B. Raikundalia  
Citizenship: United States  
Residence: Hazlet, NJ

Eighth applicant: Thomas S. Barron  
Citizenship: United States  
Residence: Scarsdale, NY

## **2. Correspondence information**

Correspondence for this application should be addressed as follows:

Customer No.: 00909

## **3. Application information**

Title of Invention: FINANCIAL INVESTMENT ADVICE SYSTEM AND METHOD

Docket number assigned to this application: 082086-0305371

Suggested Classification: Class:

Subclass:

Technology Center to which subject matter is assigned:

Total number of drawing sheets: 21

Type of application: Utility

Application is to be published. Suggested drawing figure for publication:

Secrecy order under § 5.2:

This application does not disclose subject matter of an application which is under a secrecy order pursuant to § 5.2.

## **4. Representative information**

The following have a power of attorney or authorization of agent in this application:

Customer No.: 00909

## **5. Domestic Priority information**

Domestic priority for this application is claimed as follows:

35 U.S.C. § 119(e):

Application No.: 60/491,287

Filed: July 31, 2003

Status: pending

Relationship:

**6. Assignee information**

The assignee(s) of this application is/are:

UBS Financial Services, Inc.  
1200 Harbor Boulevard, 10th Floor  
Weehawken, NJ 07087

Extent of interest of assignee in application:

Date: April 16, 2004



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